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Date January 12, 2006 Client-Matter 74622-072

Total Pages (Including Cover)

3

Fax Transmittal

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To: Examiner BASHORE, ALAIN L Group Art Unit 3624

Fax No.: 571.273.8300

Company: United States Patent and Trademark Office

Voice No.: 571.272.4130

Message

Re: Applicant: Mark L. Lipschutz
Filing Date: December 20, 2001
Serial No. 10/022,510
For: INTEREST DETERMINATION SYSTEM AND METHOD
Our Reference No. 74622-072

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

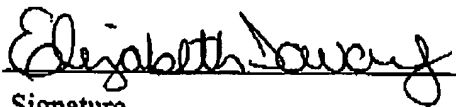
Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

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PTO/SB/81 (09-04)

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POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM	Application Number	10/022,310
	Filing Date	December 20, 2001
	First Named Inventor	Mark L. Lipschutz, et al.
	Title	INTEREST DETERMINATION SYSTEM AND METHOD
	Art Unit	3624
	Examiner Name	ALAIN L. BASHORE
	Attorney Docket Number	74822-072

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☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/86)

SIGNATURE of Applicant or Assignee of Record

Signature		Date	1/11/06
Name	Gregg I. Goldman	Telephone	203.719.3099
Title and Company	Director and Senior Counsel, Technology and Intellectual Property, UBS AG, Stamford Branch		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ Total of _____ forms are submitted.

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STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Mark I. Lipschutz, et al.

Application No./Patent No.: 10/022,510 Filed/Issue Date: December 20, 2001

Entitled: **INTEREST DETERMINATION SYSTEM AND METHOD**

UBS Palnewebber, Inc. a Corporation
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
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In the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 012385, Frame 0436, or for which a copy thereof is attached.

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B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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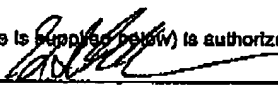
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(NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08)

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.


Signature
Gregg I. Goldman
Printed or Typed Name
Director and Senior Counsel, UBS AG, Stamford Branch
Title

1/11/06
Date
203 719 3099
Telephone Number

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